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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES**  
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September 12, 2005

To: ALL INTERESTED PARTIES

Subject: REQUEST FOR PROPOSALS FOR THE VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION (VAW-VP) PROGRAM

The Governor's Office of Emergency Services (OES), Law Enforcement and Victim Services Division, is pleased to announce the release of the Federal Violence Against Women Act (VAWA) funded Violence Against Women Vertical Prosecution (VAW-VP) Program Request for Proposal (RFP) for California District Attorney and City Attorney agencies. **All California District and City Attorney agencies are eligible to apply.**

It is the intention of OES to offer this competitive process in an effort to allow agencies previously not funded by OES to compete for these federal funds and establish VAW-VP projects throughout the state. Once the program is in operation and successfully implemented, eligible agencies will be able to re-apply for additional funding, contingent upon VAWA re-authorization and the availability of VAWA funds.

The funds for the VAW-VP program are authorized by the VAWA 2005 legislation. **There is approximately \$920,543 for the initial 6 month funding cycle. The initial funding cycle is to commence on January 1, 2006 and end on June 30, 2006. Subsequent renewal of the grant awards will be for twelve-month periods. Based on the amount of available VAWA funds and the population of the proposed service area, it is anticipated agencies will be funded in the approximate amount of \$45,000 to \$90,000 for the six month grant period.**

The VAW-VP RFP will be posted on the OES website at: [www.oes.ca.gov](http://www.oes.ca.gov), OES Divisions and Regions, Criminal Justice Programs Division, RFP Funding Information. Interested parties are encouraged to download a copy of the VAW-VP RFP. If you are interested in receiving a hard copy, please send a self-addressed, self-adhesive mailing label to:

Violence Against Women Vertical Prosecution Program  
Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
Victim/Witness Section – Attn: Sonia Banales  
3650 Schriever Avenue  
Mather, CA 95655

Should you have questions, please contact Sonia Banales, Senior Program Specialist at (916) 324-9159 or by e-mail at [sonia.banales@oes.ca.gov](mailto:sonia.banales@oes.ca.gov).

Sincerely,

SCOTT B. FRIZZIE  
Deputy Director

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
COMPETITIVE REQUEST FOR PROPOSALS**



**SEPTEMBER 2005**

**GOVERNOR’S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
COMPETITIVE REQUEST FOR PROPOSALS**

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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
COMPETITIVE REQUEST FOR PROPOSALS**

**PART I – INFORMATION**

**A. INTRODUCTION**

This Request for Proposals (RFP) provides all of the information and forms necessary to prepare a proposal for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFP supersede all previous RFPs and any conflicting provisions stated in the *2004 Recipient Handbook*. The *2004 Recipient Handbook* provides helpful information for developing the proposal and can be accessed at the website, [www.oes.ca.gov](http://www.oes.ca.gov), by selecting "Plans and Publications, *2004 Recipient Handbook*".

**B. CONTACT INFORMATION**

Questions concerning this RFP, the application process, or programmatic issues, should be submitted by e-mail to [sonia.banales@oes.ca.gov](mailto:sonia.banales@oes.ca.gov) or fax at 916-327-5674.

Contact information is provided above; however, OES staff cannot assist the applicant with the actual preparation of its proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, OES can only respond to technical questions about the RFP submitted by telephone, fax, or e-mail.

**C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS**

To submit a proposal, applicant must deliver the proposal to OES **by 5:00 p.m.** on the due date, or mail the proposal postmarked by the due date. **The Due Date Is: Monday, October 24, 2005.**

**One original and three copies** of the proposal must be delivered to OES' Law Enforcement and Victim Services Division by the date and time indicated below. **A late proposal will be deemed ineligible for funding.** Submission options are:

1. Regular mail, **postmarked by Monday, October 24, 2005**, to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNESS SECTION

2. Overnight mail, **postmarked by Monday, October 24, 2005**, to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNESS SECTION

3. Hand delivered by **5:00 p.m. on Monday, October 24, 2005** to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNESS SECTION

#### **D. ELIGIBILITY**

OES intends to fund approximately 15 agencies statewide to enhance or create specialized units to prosecute violent crimes against women through the Violence Against Women Vertical Prosecution (VAW-VP) Program.

Only California District and City Attorney offices that currently have or intend to create specialized units, which will exclusively practice Vertical Prosecution methods in cases involving violent crimes against women, are eligible to apply. These include one or more of the following: sexual assault, domestic violence, stalking, and dating violence.

#### **E. FUNDS**

The funding cycle for the VAW-VP program is for 2½ years. The first grant award period that the project must budget **begins January 1, 2006 and ends June 30, 2006**. An application for continuation funding must be submitted for the second and third year of funding. Continuation funding is contingent upon satisfactory performance, Violence Against Women Act (VAWA) re-authorization, and is subject to availability of VAWA funds.

OES reserves the right to decrease the maximum amount of funds awarded per project as well as the number of projects to be funded, depending on the amount of VAWA funds allocated for the VAW-VP program. It is anticipated there will be approximately \$920,543 in federal VAWA funds in fiscal year (FY) 2005/06 available for this program. OES will select approximately 15 projects throughout the state for funding in amounts ranging from \$45,000 to \$90,000 for a six month grant period, depending upon the availability of funds and on the population of the proposed service area as follows:

COUNTY POPULATION	VAWA FUNDS
3,000,000 and Above	\$90,000
1,000,000 and 2,999,999	\$70,000
500,000 to 999,999	\$55,000
200,000 to 499,999	\$52,500
Under 200,000	\$45,000

Refer to the County Populations by Jurisdiction Table and Funding Levels (Part III, Forms) to determine level of applicant's eligibility. OES will select the highest-ranking applications, giving consideration to geographic distribution, need, and underserved populations.

These funds may not be used to duplicate prosecutor's activities funded by the Spousal Abuser Prosecution Program authorized in Penal Code Sections 273.8-273.88, currently administered by the California Department of Justice.

A match of cash and/or in-kind contribution derived from other resources is required. The match is twenty-five (25) percent and must be calculated based on Total Project Cost, as opposed to the "Percent of Allocation" method. Funds designated as match are restricted to the same uses as VAWA funds. Calculation of the match is explained in further detail on page 11 of the Instructions.

**Federal monies may not be used to meet the match requirement.**

## **F. PROGRAM INFORMATION**

The VAWA Services\*Training\*Officers\*Prosecutors (S\*T\*O\*P) Program was authorized in 1994 through Title IV of the Violent Crime Control and Enforcement Act of 1994, the Violence Against Women Act (VAWA), and Public Law 103-322, 108 Statutes 1796. This program is administered by the Office on Violence Against Women, Office of Justice Programs, U.S. Department of Justice. With the statutory funding authorizations for the VAWA grant programs ending in 2000, Congress enacted the Violence Against Women Act of 2000 (VAWA 2000). The primary purpose of VAWA 2000 was to re-authorize existing programs, provide statutory authority for new grant programs, and improve provisions in the original VAWA. The provisions of VAWA 2000, including the S\*T\*O\*P Formula Grant Program, is funded through the VAWA Law Enforcement and Prosecution Grant to reduce Violent Crimes Against Women Program for Fiscal Years (FY) 2001 through 2005. OES is awaiting the re-authorization of VAWA for future funding.

The VAWA S\*T\*O\*P Formula Grants Program promotes the development and implementation of effective, victim-centered law enforcement, prosecution, and court strategies to address violent crimes against women and the development and enhancement of victim services in cases involving violent crimes against women. States and communities are encouraged to restructure and strengthen the criminal justice system response to domestic violence, sexual assault, and stalking and dating violence, drawing upon the experience of all participants in the system, including victim advocates.

VAWA 2000 has eleven purpose areas for which S\*T\*O\*P funds may be used. This RFP allows for the following three purpose areas:

- Expanding or creating specialized units of prosecutors and investigators targeting violent crimes against women, including sexual assault, domestic violence and dating violence;
- Developing, expanding or strengthening programs addressing stalking; and
- Developing, enlarging or strengthening programs to assist prosecutors to address the needs and circumstances of older and disabled women who are victims of domestic violence and sexual assault, including recognizing, investigating, and prosecuting instances of such violence or assault and targeting outreach and support, counseling and other victim services to such older and disabled individuals.

VAWA further requires that priority be given to areas within the state of varying geographic size with the greatest showing of need.



Original publications (written, visual, or sound) produced in whole or in part with S\*T\*O\*P funds must contain the following statement:

*This project was supported by Grant No. 2005WFA0022 awarded by the Office on Violence Against Women, U.S. Department of Justice, and through Grant Award Number (tbd) from the California Governor's Office of Emergency Services (OES). Points of view, opinions, findings and conclusions in this publication are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice or of OES. OES reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use these materials and to authorize others to do so."*

The Grant Recipient Handbook, Section 5120, advises projects to notify OES 60 calendar days in advance of intended publication. For this particular grant program, all such original publications must be submitted to OES for review and approval. OES is required to submit one copy of all reports and proposed publication resulting from this grant award to the Office on Violence Against Women twenty (20) days prior to public release.

## **1. Program Purpose/Description**

Assisting victims is a key focus of many of OES' programs, and ensuring that perpetrators of crime are processed through the criminal justice system is part of a victim's road to recovery.

The prosecution of crimes against women, including sexual assault, domestic violence, stalking and dating violence is the goal of the VAW-VP program. Vertical prosecution means the same prosecutor, who is specifically qualified in violence against women issues, is assigned to these cases from beginning to end, resulting in a higher rate of conviction and better services to the victim.

Vertical Prosecution has been shown to improve conviction rates, reduce victim trauma, and provide more consistent, appropriate sentencing. Through program grants supporting "vertical prosecution," district and city attorneys are able to develop teams that specialize in the investigation and prosecution of crimes involving violence against women. Victims are able to work with the same prosecutor and investigator from the time charges are filed through the sentencing of the offender. Trained counselors/advocates also work with the victim to make the trial process less traumatic and overwhelming.

Through this program, projects may fund part-time or full-time qualified deputy district attorneys or city attorneys, and district attorney or city attorney investigators. Victim advocates may be used to support this program purpose through a cash and/or in-kind match.

## **2. Unit Operations**

Units receiving funds under this program shall concentrate prosecution efforts and resources on individuals that are accused of serious crimes against women. In vertical prosecution units, the prosecutor or prosecution unit makes the initial filing or appearance in a case, and performs all subsequent court appearances on a particular case through to its conclusion including the sentencing phase. In addition, the unit is assigned highly qualified prosecutors and investigators to the specific category of cases (see part II, A.2. Plan and Implementation Section), and the unit maintains a reduction of caseloads for its prosecutors and investigators.

Prosecutors and investigators funded by this program must be **EXCLUSIVELY** assigned to prosecute violations of violent crimes against women. These positions may be split funded ONLY when grant funds are insufficient to support fulltime staff positions.

Funded projects are required to establish a personnel rotation policy for vertical prosecution staff that demonstrates a commitment to stability and continuity of staff assignments.

### **3. Degrees of Vertical Prosecution**

To allow for the realities of case management, such as scheduling conflicts, illness and extraordinary events, OES recognizes three degrees of vertical prosecution as follows:

#### **a. True Vertical Prosecution**

The same prosecutor files the charges, OR makes the first appearance, after the defendant is identified as meeting the necessary criteria, AND makes all subsequent court appearances through the sentencing stage.

#### **b. Major Stage Vertical Prosecution**

The same prosecutor files the charges, OR makes the first appearance, after the defendant is identified as an individual meeting the necessary criteria, and all significant appearances, such as: preliminary hearing, trial, sentencing, contested motions affecting bail, admissibility of evidence, dismissal of charges, change of venue, motions to sever or consolidate, discovery, setting aside the verdict, or motions concerning search warrants.

#### **c. Unit Vertical Prosecution**

Based upon extraordinary circumstances (such as: court conflicts, scheduling conflicts requiring appearances at two or more places at one time, geographic location of hearing, illness or absence due to unavoidable circumstance), the principal prosecutor who filed the charges (OR made the first court appearance after the defendant was identified as an individual meeting necessary grant criteria) is assisted by no more than **one** other unit attorney. This back-up attorney must be designated for the entire grant award period.

### **4. Mandatory Objectives**

There are four mandatory objectives for the VAW-VP projects funded under this program:

- **Objective A:**  
During the first year of funding, increase prosecution and conviction rates of violent crimes against women, including sexual assault, domestic violence, dating violence and stalking as measured by the total number of defendants anticipated (or projected) to be prosecuted/convicted by the project. Maintain these increased rates for the second and third year of funding.
- **Objective B:**  
Achieve vertical prosecution standards as measured by the number of VAW-VP cases to be prosecuted in each of the following categories: True Vertical Prosecution, Major Stage Vertical Prosecution and Unit Vertical Prosecution.

- **Objective C:**  
Reduce specialized caseloads as measured by the average reduced caseload (excluding warrant cases) for VAW-VP prosecutors and investigators compared to non-project prosecutors and investigators. OES requires that VAW-VP caseloads be reduced by a minimum of one-third of a non-vertical caseload in the local prosecutor's office.
- **Objective D:**  
Ensure minimization of trauma to victims of violent crime through referrals to local Victim Witness, Domestic Violence Shelters, or Rape Crisis Centers via Operational Agreements. Projects may elect to employ a victim advocate within the VAW-VP unit, contingent upon them meeting the minimum Evidence/Penal Code requirements (see part II, A.2., Implementation Section).

## **5. Required Policies for Violence Against Women Vertical Prosecution Projects**

Each District/City Attorney's office establishing a Vertical Prosecution Unit and receiving grant fund support under this program shall adopt and pursue the following policies:

- a. All reasonable prosecutorial efforts will be made to resist pre-trial release of a charged defendant meeting program priority selection criteria.
- b. Nothing in this RFP shall be construed to limit the application of diversion programs authorized by law. All reasonable efforts shall be made to utilize diversion alternatives in appropriate cases.
- c. All reasonable prosecutorial efforts will be made to reduce the time between arrest and disposition of charges against an individual meeting program priority criterion.

OES requires all policies developed in conjunction with the foregoing principles be in writing and available to unit staff and OES. These policies should be reviewed periodically to ensure they reflect current concepts and applicability. The existence and evaluation of the current written policy regarding the foregoing will be considered when determining compliance with these objectives.

## **6. Links to Other Programs**

Applicants are required to obtain a current, signed Operational Agreement with the OES funded Victim/Witness Assistance program and, if applicable, the local Rape Crisis Center and/or Domestic Violence Shelter.

Projects must actively and regularly participate in their city and/or county's violence against women interagency task force. Documentation of participation must be kept by the project, meeting minutes identifying participants is the best method of documentation. If a project is in a county that does not have an existing interagency task force, OES encourages the project to develop those community partnerships.

## **G. PREPARING A PROPOSAL**

For clarity, the forms in Part III include a Proposal Cover Sheet. Please complete the Proposal Cover Sheet and attach it to the front of your proposal.

The following six components are required for a complete proposal:

- Proposal Cover Sheet;
- Grant Award Face Sheet (OES A301);
- Preference Points Certification Form (*if applicable*);
- Project Narrative;
- Budget Narrative and the Project Budget (OES A303a-c); and
- Proposal Appendix.

**NOTE:** Failure to include all of the required components may result in a reduced score or disqualification. OES will not advise the applicant that his/her proposal is incomplete prior to rating or disqualification.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
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**PART II – INSTRUCTIONS**

The instructions in this section correspond to each of the proposal components, as well as to the forms provided in Part III.

The applicant must use the forms provided or computer-generated forms, and plain 8½ x 11" white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OES forms and must not allow the applicant more space than that provided on the OES forms. The applicant must ensure information requested by the RFP instructions is included in the appropriate section of the proposal to receive credit. If a space limitation is specified for a component, strict adherence to the space limitation is required.

The proposal must be typed with characters no smaller than standard 12-pitch font. **The applicant must double-space all narrative sections of the proposal.**

Copies of the proposal must be assembled separately and individually fastened in the upper left corner. **Do not bind proposal.**

**Failure to comply with these spacing/formatting requirements is one of the many factors that may negatively impact your comprehensive assessment score.**

**A. PROJECT NARRATIVE**

The project narrative is the main body of information describing the problem to be addressed, the plan to address that problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the proposed plan. Please limit the project narrative to one page per category below.

**1. Problem Statement (limit 1 page)**

The primary intent of the VAW-VP program is to improve conviction rates, reduce victim trauma and provide more consistent, appropriate sentencing. Applicant is to consider the above information when developing and writing the proposal to include Vertical Prosecution as it relates to: domestic violence, sexual assault, stalking, and dating violence.

Provide a description of the problem of violence against women that will be addressed by the project to include:

- Description of the service area, size, population and social factors, including the underserved and targeted population and any trends in these populations, as well as need.
- Description of the weaknesses in the current resources that may be enhanced by the proposed project.
- The use of local crime statistics to illustrate the violence against women problem.

- Discussion of the status of collaborative efforts, and local law enforcement efforts in the county to combat violence against women.
- The type(s) of crime you intend to vertically prosecute.

## 2. **Plan and Implementation (limit 6 pages)**

**Plan:** This section of the project narrative should present the plan to address the problem. Describe the elements required for plan development, such as goals, objectives, activities or timelines. All goals should have measurable results.

- Describe the process in which cases are referred to the unit, including the source of referrals.
- Describe the project strategies to develop linkages to increase the number of cases referred/prosecuted.
- Describe how the applicant will implement vertical prosecution within the unit.
- Describe how the project will ensure all victims are provided either direct services or referrals to appropriate victim services agencies. All referrals will be initiated in writing within seven days of charging the case, or receiving the case into the unit, whichever comes first.

**Implementation:** All activities should describe the steps necessary to achieve each objective. Type each objective on a separate page and list the activities and projected numbers under the corresponding objective. Provide quantitative measures for each objective as well as details of activities to show how each of the objectives will be met.

### Examples:

**Objective A:** Increase prosecution and conviction rates of violent crimes against women, including domestic violence, sexual assault, dating violence and stalking, as measured by the number of cases (defendants) anticipated or projected to be assigned/accepted by the unit.

Quantitative measure:

- Number of cases referred to VAW-VP Unit
- Number of cases in which charges were filed
- Number of cases in which an affirmative decision was made not to file charges
- Number of cases transferred to a higher or lower court
- Number of cases dismissed
- Number of convictions

**Objective B:** Achieve vertical prosecution standards as measured by the number of cases to be prosecuted in each of the categories: True; Major Stage; Unit.

Quantitative measure:

- Number of defendants prosecuted using True Vertical Prosecution
- Number of defendants prosecuted using Major Stage Vertical Prosecution
- Number of defendants prosecuted using Unit Vertical Prosecution

**Objective C:** Reduce specialized caseloads by a minimum of 1/3 (excluding warrant cases) as measured by the comparison to non-unit caseloads.

Quantitative measure:

- Number of cases assigned to VAW-VP Unit Prosecutor
- Number of cases assigned to non-VAWVP Prosecutor
- Number of cases assigned to VAW-VP Unit Investigator
- Number of cases assigned to non-VAWVP Investigator

**Objective D:** Ensure minimization of trauma to victims of specified crimes as measured in advocate employee direct services or referrals to local victim service agencies.

Quantitative measure:

- Number of cases in which victim was provided direct services by advocate employee assigned to VAW-VP Unit
- Number of cases in which victim was referred out to appropriate local service provider

**Qualifications of Staff Assigned:** Describe the staffing required to carry out the grant objectives as supported by the proposed budget. Discuss position qualifications and responsibilities indicating where there are vacancies, if any. **Current** resumes, biographies and duty statements must be maintained on site by the project for each staff person assigned to this project. Each position must be identified by staff name, percentage of time on grant, and duties performed. **Each staff person assigned to this grant must meet the following minimum selection standards** consistent with the goal of increased competency of personnel:

- **PROSECUTORS** – must have at a minimum three years of experience in the prosecution of **felony** cases (for District Attorneys, and misdemeanor cases for City Attorneys) within one or more of the VAW-VP specified crime categories **AND** attended or plan to attend (within nine months of the date of project participation) the California District Attorneys Association (CDAA) sponsored training in sexual assault, domestic violence, elder abuse, dating violence, battered immigrant women, and stalking.
- **INVESTIGATORS** – must have at least three years of experience in the investigation of felonies involving one or more of the crime types listed above.
- **VICTIM ADVOCATES** – must possess the required education/training as specified in Evidence Code Sections 1035.5-1036 (Domestic Violence) and/or 1037.1-1037.8 (Sexual Assault) and/or Penal Code Section 13835.10 (Victim/Witness), as outlined in the Program Guidelines.

## **B. PROJECT BUDGET**

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit,

applicant should not include in the project budget matching funds (if applicable) in excess of the required match. All budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget that will enable them to meet the intent and requirements of the program, ensure the successful implementation of the project, and be cost-effective. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures that would detract from the accomplishment of the objectives and activities of the project. The following information is provided to assist in the preparation of the budget. Strict adherence to all required and prohibited items is expected. **Where the applicant does not budget for a required item, the applicant assumes responsibility.** Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *2004 Recipient Handbook* at [www.oes.ca.gov](http://www.oes.ca.gov) by selecting "Plans and Publications, 2004 Recipient Handbook" for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on page 1; subsection B of this RFP if you have additional budget questions.

**Match Requirement:** The match, cash or in-kind, must be clearly identified in the budget. The match must not be derived from federal monies. The match is intended to augment the amount of resources available to the project. Expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. All of the match specified in the budget will become part of the grant award. State funds can be used to match federal funds only if the (a) other funding source does not prohibit this practice; (b) the funds are to be used for identical activities; and, (c) programmatic instructions allow this practice.

**All funds designated as match are restricted to the same uses as VAWA funds.**

**Calculating Match:** Subtract the required match percent from 100%, divide the grant award amount by this difference to determine the total project cost, and then subtract the grant award amount (the OES allocation) to determine the match amount. See examples below:

- VAWA funds awarded = **\$90,000**  
Divide \$90,000 by .75 (100-25) = 120,000 (total project cost)  
Subtract Grant Award amount = 90,000 (75%)  
Project match = 30,000 (25%)
- VAWA funds awarded = **\$70,000**  
Divide \$70,000 by .75 (100-25) = 93,333 (total project cost)  
Subtract Grant Award amount = 70,000 (75%)  
Project match = 23,333 (25%)
- VAWA funds awarded = **\$55,000**  
Divide \$55,000 by .75 (100-25) = 73,333 (total project cost)  
Subtract Grant Award amount = 55,000 (75%)  
Project match = 18,333 (25%)
- VAWA funds awarded = **\$52,500**  
Divide \$52,500 by .75 (100-25) = 70,000 (total project cost)  
Subtract Grant Award amount = 52,500 (75%)  
Project match = 17,500 (25%)



• VAWA funds awarded	=	<b><u>\$45,000</u></b>
Divide \$ 45,000 by .75 (100-25)	=	60,000 (total project cost)
Subtract Grant Award amount	=	45,000 (75%)
Project match	=	15,000 (25%)

## 1. **Budget Narrative**

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the proposal in front of the budget pages. In the narrative describe:

- How the project's proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment.
- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

## 2. **Specific Budget Categories**

There is a separate form in the Forms Section (Part III) for each of the following three budget categories:

- Personal Services – Salaries/Employee Benefits;
- Operating Expenses; and
- Equipment.

Each budget category requires line item detail that addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented **and rounded off to the nearest whole dollar**. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

**a. Personal Services – Salaries/Employee Benefits (OES A303a)**

**1) Salaries**

Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other persons are to be shown as consultants in the Operating Expenses Category supported by a Memorandum of Understanding (MOU), contract, or Operational Agreement (OA), which must be kept on file by the recipient and made available for review during an OES site visit, monitoring visit, or audit. Furthermore, in the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category. In either case, they may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If agency personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

**2) Benefits**

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1½ clerical positions).

**b. Operating Expenses (OES A303b)**

Operating expenses are defined as necessary expenditures exclusive of personnel salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$1,000 per unit (including tax, installation, and freight) **and/or with a useful life of less than one year fall within this category.**

Budget for all anticipated training related to the project. **All** applicants must budget for a minimum of one OES-sponsored training session during the grant year. A minimum of two project staff from each participating agency must attend each training conference.

The applicant must include sufficient per diem and travel allocations for persons to attend required OES training conferences or workshops. The applicant must budget a minimum of \$200 for registration fees for each person. If several staff will be attending the same event, budget for the total number of people.

**c. Equipment (OES A303c)**

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$1,000 or more per unit (including tax, installation, and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

**C. PROPOSAL APPENDIX**

The proposal appendix provides OES with additional information from the applicant to support components of the proposal. The following must be included:

- Organizational Chart: The Organizational Chart should provide a clear and detailed depiction of the structure of the applicant organization, and the specific unit within the organization that will be responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and depict the lines of authority within the organization. Job titles on the Organizational Chart should match those in the Budget and Budget Narrative.
- Operational Agreements: OAs must be dated and contain original signatures, titles and agency names for both parties. This document must demonstrate a formal system of networking and coordination with other agencies and the applicant. Those submitted with the proposal must be effective for the proposed grant year. For the purpose of this RFP, the terms OA and MOU are synonymous. A sample OA is provided in the Forms Section (Part III) of this RFP.
- Certification of Assurance of Compliance;
- Project Service Area Information;
- Project Contact Information;
- Project Summary;
- Other Funding Sources;
- Prior, Current and Proposed OES Funding;
- Additional Signature Authorization;
- Computer and Automated Systems Purchase Justification Guidelines;
- Noncompetitive Bid Request – Contracts for Services Checklist; and
- Noncompetitive Bid Request – Contracts for Goods Checklist.

#### **D. PREFERENCE POINTS CERTIFICATION**

*California Government Code Section 7082* requires OES to give preference to applicants from areas in the state designated as Enterprise Zones. These are areas that have been identified to receive state contract preference points due to high unemployment, lower incomes, and population density. The goal of the Enterprise Zone Program is to stimulate growth in economically distressed areas. Five percent of the applicant's total score will be added to the proposal for the applicant that specifically targets a designated zone for services. Two percent of the applicant's total score will be added to the proposal for applicant whose service area includes an Enterprise Zone, but does not specifically target the area for services.

Complete information concerning the Enterprise Zone Program is available on-line from the Commerce & Economic Development Program, Community and Investment Incentives Section of the Business and Community Resources web page at <http://www.commerce.ca.gov>. If the applicant is eligible for preference points, certification of eligibility by the appropriate agency must be provided. Self-certification is not allowed. A certification form is provided in Forms Section (Part III) of this RFP.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
COMPETITIVE REQUEST FOR PROPOSALS**

**PART III – FORMS**

**PROPOSAL CHECKLIST AND REQUIRED SEQUENCE**

This checklist is provided to ensure that a complete proposal is submitted to OES. Failure to include any of the following elements may result in disqualification of the proposal.

- ☐ PROPOSAL COVER SHEET
- ☐ GRANT AWARD FACE SHEET, signed by the official authorized to enter into Grant Award Agreement.
- ☐ PREFERENCE POINTS CERTIFICATION FORM signed by the designated Enterprise Zone Contact.
- ☐ PROJECT NARRATIVE
  - Problem Statement
  - Plan and Implementation
- ☐ PROJECT BUDGET
  - Budget Narrative
  - Budget OES A303a, A303b, A303c
- ☐ PROPOSAL APPENDIX
  - Organizational Chart;
  - Operational Agreements;
  - Certification of Assurance of Compliance;
  - Project Service Area Information;
  - Project Contact Information;
  - Project Summary;
  - Other Funding Sources;
  - Prior, Current and Proposed OES Funding;
  - Additional Signature Authorization;
  - Computer and Automated Systems Purchase Justification Guidelines;
  - Noncompetitive Bid Request – Contracts for Services Checklist; and
  - Noncompetitive Bid Request – Contracts for Goods Checklist.



**LAW ENFORCEMENT AND VICTIM SERVICES DIVISION  
GOVERNOR'S OFFICE OF EMERGENCY SERVICES**

3650 SCHRIEVER AVENUE  
MATHER, CALIFORNIA 95655  
(916) 324-9100  
FAX: 327-5674



**PROPOSAL COVER SHEET**

**RFP PROCESS**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM**

**Deliver to the Victim/Witness Section**

Submitted by:

(Place name, address, and phone number of applicant here.)

## GRANT AWARD FACE SHEET INSTRUCTIONS

1. **Administrative Agency**  
Enter the complete name of the unit of government applying for funding (e.g., Alameda County, City of Fresno), also referred to as the "recipient."
2. **Implementing Agency Name**  
Enter the complete name of the agency responsible for the day-to-day operation of the grant (e.g., Sheriff, Police Department), and the contact person's name, address, and phone number. Include an e-mail address, if you have one.
3. **Project Title**  
Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters, including spaces and punctuation.
4. **Project Director**  
Enter the requested information of the individual ultimately responsible for the project. This information must be limited to six lines. **NOTE: If you use a P.O. Box address, a street address is also required for UPS and site visit purposes.**
5. **Financial Officer**  
Enter the requested information of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. The reimbursement check for this project will be mailed to the address shown for the financial officer. This information must be limited to six lines. **NOTE: If you use a P.O. Box address, a street address is also required for UPS and site visit purposes.**
6. **Award Number**  
Leave blank (to be completed by OES).
7. **Grant Period**  
Enter beginning and ending dates of grant cycle as specified in RFP, Part I, E.
8. **Federal Amount**  
If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount**  
If applicable, enter the amount of state funds requested for the project. If not applicable, enter N/A.
10. **Cash Match**  
If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match**  
If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost**  
Enter the sum of items 8, 9, 10, and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for the Applicant/Grant Recipient**  
Enter the signature, name, title, address, telephone number, and e-mail address of the official authorized to enter into the Grant Award Agreement for the city/county or Community-Based Organization, as stated in the language between items 12 and 13 of the Grant Award Face Sheet (OES A301). **Provide an original signature of the authorized official in blue ink.**

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**GRANT AWARD FACE SHEET (OES A301)**

The Governor's Office of Emergency Services, hereafter designated OES, hereby makes a grant award of funds to the following

**(1) Administrative Agency** \_\_\_\_\_

hereafter designated Recipient, in the amount and for the purpose and duration set forth in this grant award.

**(2) Implementing Agency Name** \_\_\_\_\_

**Contact** \_\_\_\_\_

**Address** \_\_\_\_\_

**E-mail address** \_\_\_\_\_

**Telephone** \_\_\_\_\_

( )

<b>(3) Project Title</b> (60 characters maximum)	<b>(6) Award No.</b> [FOR OES USE ONLY]
<b>(4) Project Director</b> (Name, Title, Street/P.O. Box Address, Telephone, E-mail – six lines maximum)	<b>(7) Grant Period</b>
	<b>(8) Federal Amount</b>
	<b>(9) State Amount</b>
<b>(5) Financial Officer</b> (Name, Title, Street/P.O. Box Address, Telephone, E-Mail – six lines maximum)	<b>(10) Cash Match</b> IF NO MATCH, TYPE "N/A."
	<b>(11) In-Kind Match</b> IF NO MATCH, TYPE "N/A."
	<b>(12) Total Project Cost</b>

This grant award consists of this title page, the application for the grant, which is attached and made a part hereof, and the Assurance of Compliance forms which are being submitted. I hereby certify that: (1) I am vested with authority to, and have the approval of the City/County Financial Officer, City Manager, or Governing Board Chair, enter into this grant award agreement; and (2) all funds received pursuant to this agreement will be spent exclusively on the purposes specified. The grant recipient signifies acceptance of this grant award and agrees to administer the grant project in accordance with the statute(s), the Program Guidelines, the *2004 Recipient Handbook*, and the OES audit requirements, as stated in this RFP or RFA. The grant recipient further agrees to all legal conditions and terms incorporated by reference in this RFP or RFA.

<p style="text-align: center;"><b>[FOR OES USE ONLY]</b></p> <p>Item: _____</p> <p>Chapter: _____</p> <p>PCA No.: _____</p> <p>Components No.: _____</p> <p>Project No.: _____</p> <p>Amount: _____</p> <p>Split Fund: _____</p> <p>Split Encumber: _____</p> <p>Year: _____</p> <p>Fed. Cat. #: _____</p> <p>Match Requirement: _____</p> <p>Fund: _____</p> <p>Program: _____</p> <p>Region: _____</p>	<p><b>(13) Official Authorized to Sign for Applicant/Grant Recipient</b></p> <p>Signature: _____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Street Address: _____</p> <p>City: _____ Zip: _____</p> <p>P.O. Box: _____</p> <p>City: _____ Zip: _____</p> <p>Telephone: ( ) _____</p> <p>E-mail address: _____</p> <p>Date: _____</p> <hr/> <p style="text-align: center;"><b>[FOR OES USE ONLY]</b></p> <p>I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.</p> <p>_____ OES Fiscal Officer Date</p> <p>_____ OES Director Date</p>
--	---



## PREFERENCE POINTS CERTIFICATION

*Use this format if one is not provided by the Lead agency.*

**DATE:**

**TO:** GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION

**FROM:** Community Contact  
Enterprise Zone Program

**SUBJECT:** PREFERENCE POINTS

*(check only one box)*

- ☐ (5%) The applicant named below has targeted this enterprise zone for grant-related activities.
- ☐ (2%) The applicant named below has not specifically targeted this enterprise zone for grant-related activities. However, the applicant provides needed services to residents of this community.

Applicant Name \_\_\_\_\_

Project Name \_\_\_\_\_

Address \_\_\_\_\_

Program Zone \_\_\_\_\_

I certify that I have reviewed the proposed project and that it meets the eligibility requirements for preference points as required by *California Government Code Section 7082*.

\_\_\_\_\_  
Print Name of Enterprise Zone Contact

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Enterprise Zone Contact

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Enterprise Zone Agency

\_\_\_\_\_  
Address

( ) \_\_\_\_\_  
Telephone Number

## **PROJECT NARRATIVE**

**GOES HERE**

No standard forms are provided for the Project Narrative.

See Instructions in Part II of this RFP for details

**PROJECT BUDGET  
BUDGET NARRATIVE  
GOES HERE**

No standard forms are provided for the Budget Narrative.

See Instructions in Part II of this RFP for details.

BUDGET CATEGORY AND LINE ITEM DETAIL	
A. Personal Services – Salaries/Employee Benefits	COST
<b>TOTAL</b>	

OES A303a

[illegible]

OES A303b

BUDGET CATEGORY AND LINE ITEM DETAIL				
C. Equipment				COST
CATEGORY TOTAL				
PROJECT TOTAL				
FUND DISTRIBUTION	FEDERAL	STATE	CASH MATCH	IN-KIND MATCH
1. Amount of Funds				
2. Percentage of Funds				

OES A303c

## **PROPOSAL APPENDIX**

### **GOES HERE**

See Instructions in Part II of this RFP for details.

## SAMPLE OPERATIONAL AGREEMENT

This Operational Agreement stands as evidence that the (applicant agency) and the (agency) intend to work together toward the mutual goal of providing maximum available assistance for crime victims residing in (jurisdiction). Both agencies believe that implementation of the (program) proposal, as described herein, will further this goal. To this end, each agency agrees to participate in the program, if selected for funding, by coordinating/providing the following services:

The (applicant agency) project will closely coordinate the following services with the (agency) through:

- Project staff being readily available to (agency) for service provision through (describe arrangements with the agency);
- Regularly scheduled meetings (how often) between (persons/positions) to discuss strategies, timetables and implementation of mandated services.

\* Specifically:

\* List specific activities that will be undertaken between the two agencies or other specifics of the agreement.

We, the undersigned, as authorized representatives of (applicant agency) and (agency), do hereby approve this document.

For \_\_\_\_\_

For \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_



## CERTIFICATION OF ASSURANCE OF COMPLIANCE

I, \_\_\_\_\_ hereby certify that  
(official authorized to sign grant award; same person as line 13 on Grant Award Face Sheet)

RECIPIENT: \_\_\_\_\_

IMPLEMENTING AGENCY: \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

is responsible for reviewing the *2004 Recipient Handbook*<sup>1</sup> and adhering to all of the Grant Award Agreement requirements (state and/or federal) as directed by OES including, but not limited to, the following areas:

### I. Equal Employment Opportunity – (*2004 Recipient Handbook, Section 2151*)

It is the public policy of the State of California to promote equal employment opportunity by prohibiting discrimination or harassment in employment because of race, religious creed, color, national origin, ancestry, disability (mental and physical) including HIV and AIDS, medical condition (cancer and genetic characteristics), marital status, sex, sexual orientation, denial of family medical care leave, denial of pregnancy disability leave, or age (over 40). **OES-funded projects certify that they will comply with all state and federal requirements regarding equal employment opportunity, nondiscrimination and civil rights.**

Please provide the following information:

Affirmative Action Officer: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

### II. Drug-Free Workplace Act of 1990 – (*2004 Recipient Handbook, Section 2152*)

The State of California requires that every person or organization awarded a grant or contract shall certify it will provide a drug free workplace.

### III. California Environmental Quality Act (CEQA) – (*2004 Recipient Handbook, Section 2153*)

The State of California requires all OES-funded projects to obtain written certification that the project is not impacting the environment negatively.

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<sup>1</sup>The *2004 Recipient Handbook* can be obtained from [www.oes.ca.gov](http://www.oes.ca.gov) by selecting "Plans and Publications, 2004 Recipient Handbook."

#### **IV. Lobbying – (2004 Recipient Handbook, Section 2154)**

OES grant funds, grant property, or grant funded positions shall not be used for any lobbying activities, including, but not limited to, being paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.

#### **V. Debarment and Suspension – (2004 Recipient Handbook, Section 2155)**

*(This applies to federally funded grants only.)*

OES-funded projects must certify that it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department of agency.

#### **VI. Proof of Authority from City Council/Governing Board**

The above-named organization (applicant) accepts responsibility (with an original signature) for and will comply with the requirement to obtain written authorization from the city council/governing board in support of this program. The applicant agrees to provide all matching funds required for said project (including any amendment thereof) under the Program and the funding terms and conditions of OES, and that any cash match will be appropriated as required. It is agreed that any liability arising out of the performance of this Grant Award Agreement, including civil court actions for damages, shall be the responsibility of the grant recipient and the authorizing agency. The State of California and OES disclaim responsibility of any such liability. Furthermore, it is also agreed that grant funds received from OES shall not be used to supplant expenditures controlled by the city council/governing board.

The applicant is required to obtain written authorization (with an original signature) from the city council/governing board that the official executing this agreement is, in fact, authorized to do so. The applicant is also required to maintain said written authorization on file and readily available upon demand. This requirement does not apply to state agencies.

All appropriate documentation must be maintained on file by the project and available for OES or public scrutiny upon request. Failure to comply with these requirements may result in suspension of payments under the grant or termination of the grant or both and the recipient may be ineligible for award of any future grants if the OES determines that any of the following has occurred: (1) the recipient has made false certification, or (2) violates the certification by failing to carry out the requirements as noted above.

CERTIFICATION
<p>I, the official named below, am the same individual authorized to sign the Grant Award Agreement [line 13 on Grant Award Face Sheet], and hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.</p> <p>Authorized Official's Signature: _____</p> <p>Authorized Official's Typed Name: _____</p> <p>Authorized Official's Title: _____</p> <p>Date Executed: _____</p> <p>Federal ID Number: _____</p> <p>Executed in the City/County of: _____</p>
<p><b>AUTHORIZED BY: (Not Applicable to State Agencies)</b></p> <ul style="list-style-type: none"><li>• City/County Financial Officer, or</li><li>• City Manager, or</li><li>• Governing Board Chair</li></ul> <p>Signature: _____</p> <p>Typed Name: _____</p> <p>Title: _____</p>

## PROJECT SERVICE AREA INFORMATION

1. COUNTY OR COUNTIES SERVED: Enter the name(s) of the county or counties served by the project. Put an asterisk where the project's principal office is located.
  
2. U.S. CONGRESSIONAL DISTRICT(S): Enter the number(s) of the U.S. Congressional District(s) which the project serves. Put an asterisk for the district where the project's principal office is located.
  
3. STATE ASSEMBLY DISTRICT(S): Enter the number(s) of the State Assembly District(s) which the project serves. Put an asterisk for the district where the project's principal office is located.
  
4. STATE SENATE DISTRICT(S): Enter the number(s) of the State Senate District(s) that the project serves. Put an asterisk for the district where the project's principal office is located.
  
5. POPULATION OF SERVICE AREA: Enter the total population of the area served by the project.

## PROJECT CONTACT INSTRUCTIONS

1. Provide the name, title, address, telephone number, fax number and e-mail address for the **person** having **day-to-day responsibility** for the project.
2. Provide the name, title, address, telephone number, fax number and e-mail address for the **person** to whom the person listed in **#1 is accountable**.
3. Provide the name, title, address, telephone number, fax number and e-mail address for the **Executive Director** or **Chief Executive Officer** of the implementing agency.
4. Provide the name, title, address, telephone number, fax number and e-mail address for the **Financial Officer** for the project.
5. Provide the name, title, address, telephone number, fax number and e-mail address for the **Project Director** for the project.
6. Provide the name, title, address, telephone number, fax number and e-mail address for the **Chair** of the **Governing Body** of the implementing agency.

## PROJECT CONTACT INFORMATION

Applicant \_\_\_\_\_ Grant Number \_\_\_\_\_  
[FOR OES USE ONLY]

Provide the name, title, address, telephone number, fax number and e-mail address for the project contact persons named below. **If a section does not apply to your project, enter "N/A."** **NOTE: If you use a P.O. Box address, a street address is also required for UPS and site visit purposes.**

1. The **person** having **day-to-day responsibility** for the project:

Name:	Title:	
Street Address:	City:	Zip:
P.O. Box:	City:	Zip:
Telephone Number: ( )	Fax Number: ( )	
E-Mail Address:		

2. The **person** to whom the person listed in **#1 is accountable**:

Name:	Title:	
Street Address:	City:	Zip:
P.O. Box:	City:	Zip:
Telephone Number: ( )	Fax Number: ( )	
E-Mail Address:		

3. The **Executive Director** of a nonprofit organization or the **Chief Executive Officer** (e.g., chief of police, superintendent of schools) of the implementing agency:

Name:	Title:	
Street Address:	City:	Zip:
P.O. Box:	City:	Zip:
Telephone Number: ( )	Fax Number: ( )	
E-Mail Address:		

4. The **Financial Officer** for the project:

Name:	Title:	
Street Address:	City:	Zip:
P.O. Box:	City:	Zip:
Telephone Number: ( )	Fax Number: ( )	
E-Mail Address:		

5. The **Project Director** for the project:

Name:	Title:	
Street Address:	City:	Zip:
P.O. Box:	City:	Zip:
Telephone Number: ( )	Fax Number: ( )	
E-Mail Address:		

6. The **Chair** of the **governing body** of the implementing agency: *(Provide address and telephone number other than that of the implementing agency.)*

Name:	Title:	
Street Address:	City:	Zip:
P.O. Box:	City:	Zip:
Telephone Number: ( )	Fax Number: ( )	
E-Mail Address:		

## PROJECT SUMMARY INSTRUCTIONS

All of the necessary project information must be placed on the form in the space allowed. **Additional pages may not be added.** This is a summary of the project narrative.

1. **PROJECT YEAR:** If the project is new, check new. If the project is continuing, check the box of the proposed year of the project (i.e., Year 2) or insert the year of operation.
2. **PROJECT TITLE:** Enter the complete title. The title **MUST** describe the focus of the project. Acronyms are not acceptable. Do not exceed 60 characters, including space and punctuation.
3. **GRANT PERIOD:** Enter the beginning and ending dates of funding as specified in the grant application.
4. **APPLICANT:** Enter the name and complete address of the organization that is applying for the grant.
5. **FUNDS REQUESTED:** Enter the amount of grant funds requested. This must be the same amount used on the budget pages and on the proposal cover sheet.
6. **IMPLEMENTING AGENCY:** Enter the agency or organization designated on the Grant Award Face Sheet as the programmatic recipient of the grant funds who will accomplish the planned objectives and program goals.
7. **PROGRAM DESCRIPTION:** Provide a description of the specific area of service which OES is authorized to fund based upon state or federal legislation.
8. **PROBLEM STATEMENT:** Describe the problem the project will address. Support the problem with data such as number of offenses, description of the target area, and local needs.
9. **OBJECTIVES:** Include the quantifiable measurements which define a course of action in order to accomplish the program goals.
10. **ACTIVITIES:** Describe activities you will perform to accomplish each objective (quantify where possible).
11. **CATEGORY:** Check the appropriate category.
12. **PROGRAM AREA:** Check appropriate program area.
13. **EVALUATION:** Describe how project performance will be measured. Note who will conduct the evaluation (e.g., project staff, government personnel, or outside consultants).
14. **NUMBER OF CLIENTS TO BE SERVED:** Enter the number of clients.
15. **PROJECTED BUDGET:** List all noted budget items. Be specific in breakdown of grant funds and all other budget sources.
16. **RESPONSIBLE OFFICIAL:** The legally responsible official for the organization should sign and date this document. The official's name and title should be typed in the space provided.

PROJECT SUMMARY		
<b>1. PROJECT YEAR</b> <input type="checkbox"/> New <input type="checkbox"/> Year 2 <input type="checkbox"/> Year 3 <input type="checkbox"/> Other:	<b>2. PROJECT TITLE</b>	<b>3. GRANT PERIOD</b> _____ to _____
<b>4. APPLICANT</b> Name: _____ Phone: (   ) Address: _____ Fax #: (   ) City: _____ Zip: _____		<b>5. FUNDS REQUESTED</b> \$ _____
<b>6. IMPLEMENTING AGENCY</b> Name: _____ Phone: (   ) Fax #: (   ) Address: _____ City: _____ Zip: _____		
<b>7. PROGRAM DESCRIPTION</b>           		
<b>8. PROBLEM STATEMENT</b>           		
<b>9. OBJECTIVES</b>           		



<b>10. ACTIVITIES</b>	<b>11. CATEGORY</b> — — — —
<b>13. EVALUATION</b>	<b>12. PROGRAM AREA</b> — — — —
<b>14. NUMBER OF CLIENTS TO BE SERVED</b>	

**15. PROJECTED BUDGET**

	Personnel Services	Operating Expenses	Equipment	TOTAL
Funds Requested .....				
Other Grant Funds.....				
Other Sources (list in-kind, fees, etc.).....				
_____				
_____				
_____				

**16. NAME OF RESPONSIBLE OFFICIAL**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Typed Name: \_\_\_\_\_

Title: \_\_\_\_\_

## OTHER FUNDING SOURCES

Complete this form to report the total funds available to support the activities related to accomplishing the goals and objectives of the Grant Award Agreement. In the "Grant Funds" column, report the OES funds requested by category. In the "Other Funds" column, report all other funds available to support the project by category and then calculate the totals by category in the "Program Total" column. Total each column to arrive at the total program funds available.

OTHER FUNDING SOURCES			
BUDGET CATEGORY	GRANT FUNDS <i>(Use only the grant funds identified in the preceding budget pages.)</i>	OTHER FUNDS	PROGRAM TOTAL
Personal Services			
Operating Expenses			
Equipment			
TOTAL			

OES 653

**This form does not become part of the grant award.**

## PRIOR, CURRENT AND PROPOSED OES FUNDING

List all currently funded OES projects and all OES grants awarded to the applicant during the last five fiscal years. Include the fiscal year of operation, the grant number and the amount of OES funding. For current and proposed grants that include positions funded by more than one OES grant, list these personnel by title and the percentage of the position funded by OES. The percentage of funding must not exceed 100 percent for any one individual.

Example				
FISCAL YEAR	GRANT NUMBER	GRANT AMOUNT	PERSONNEL BY TITLE	PERCENTAGE PAID BY OES
1993-94	CP93010001	\$50,000	Project Director	25%
1993-94	CR93020001	\$67,000	Project Director	25%
1993-94	DS93020001	\$68,000	Project Director	50%

PRIOR, CURRENT AND PROPOSED OES FUNDING				
FISCAL YEAR	GRANT NUMBER	GRANT AMOUNT	PERSONNEL BY TITLE	% OF OES FUNDING

## **ADDITIONAL SIGNATURE AUTHORIZATION INSTRUCTIONS**

The applicant may request signature authority in addition to the designated Project Director and/or Financial Officer by completing and submitting an Additional Signature Authority form. Space is provided for the addition of up to five additional authorizations for the Project Director or Financial Officer.

No single individual may be authorized to sign for both the Project Director and the Financial Officer. **By signing the bottom of this form, the Project Director and/or Financial Officer authorize the person(s) identified on the form to act on their behalf on all grant-related matters.**

## ADDITIONAL SIGNATURE AUTHORIZATION

Grant Award #: \_\_\_\_\_

Applicant: \_\_\_\_\_

Project Title: \_\_\_\_\_

Grant Period: \_\_\_\_\_ to \_\_\_\_\_

The following persons are authorized to sign for:

### Project Director:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

### Financial Officer:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

---

### Approved By:

Project Director: \_\_\_\_\_

Date: \_\_\_\_\_

Financial Officer: \_\_\_\_\_

Date: \_\_\_\_\_

## COMPUTER AND AUTOMATED SYSTEMS PURCHASE JUSTIFICATION GUIDELINES

As stated in the *2004 Recipient Handbook*, approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities.

A. Please answer the following questions. Attach as many pages as necessary to fully answer each question.

1. What is your agency's purpose for the proposed system? Include a description of the items to be purchased and how they will be used. Also, explain how the proposed equipment and/or software will enhance the project's ability to achieve the objectives/ activities of the project as specified in the Grant Award Agreement.

B. If the request is for hardware and software in which the total costs exceed \$10,000, answer the following questions:

1. Describe the proposed design of your system and indicate whether this is a new system or an addition/enhancement of an existing one. In your description please be specific as to type and location of hardware/software and how the system will be operated and maintained.
2. Will the proposed system design meet not only your current, but future needs? Describe in detail.
3. Does the proposed system integrate with others within the agency? Explain both yes and no responses in detail.
4. Do you plan on integrating this system with existing city, county, regional or statewide networks? Explain both yes or no responses in detail.
5. For criminal justice agencies, does the proposed system meet the minimum requirements of the Statewide Integrated Narcotics System (SINS)? Contact OES for additional information regarding SINS requirements.
6. Does the proposed system include intelligence data subject to *28 CFR Part 23* (2003)? Contact California Department of Justice at (916) 263-1182, Western States Information Network regarding these requirements and have them sign the certification of compliance.

## NONCOMPETITIVE BID REQUEST CONTRACTS FOR SERVICES CHECKLIST

Has the applicant/recipient met the following requirements of the *2004 Recipient Handbook*:

### **Section 3511**

**Yes**

**No**

Do conditions exist that require a sole/single-source contract?

☐☐

### **Section 3521.1**

Is a brief description of the program or project included?

☐☐

### **Section 3521.2**

Was it necessary to contract noncompetitively?

☐☐

Did the contractor submit his/her qualifications?

☐☐

Is the reasonableness of the cost justified?

☐☐

Were cost comparisons made with differences noted for similar services?

☐☐

Is a justification provided regarding the need for contract?

☐☐

### **Section 3521.3**

Is an explanation provided for the uniqueness of the contract?

☐☐

### **Section 3521.4**

Are there time constraints impacting the project?

☐☐

Were comparisons made to identify the time required for another contractor to reach the same level of competence?

☐☐

## NONCOMPETITIVE BID REQUEST CONTRACTS FOR GOODS CHECKLIST

Has the applicant/recipient met the following requirements of the *2004 Recipient Handbook*:

### **Section 3510**

**Yes**

**No**

Do conditions exist that require a sole/single-source contract?

☐☐

### **Section 3521.1**

Is a brief description of the program or project included?

☐☐

### **Section 3521.2**

Was it necessary to contract noncompetitively?

☐☐

Did the contractor submit his/her qualifications?

☐☐

Is the reasonableness of the cost justified?

☐☐

Were cost comparisons made with differences noted for similar services?

☐☐

Is a justification provided regarding the need for contract?

☐☐

### **Section 3521.3**

Is an explanation provided for the uniqueness of the contract?

☐☐

### **Section 3521.4**

Are there time constraints impacting the project?

☐☐

Were comparisons made to identify the time required for another contractor to reach the same level of competence?

☐☐



# **California County Population By Jurisdiction and Funding Levels**

*Updated January 2005*

Alameda	1,507,500	Orange	3,056,865
Alpine	1,262	Placer	305,675
Amador	37,574	Plumas	21,231
Butte	214,119	Riverside	1,877,000
Calaveras	44,796	Sacramento	1,369,855
Colusa	20,880	San Benito	57,602
Contra Costa	1,020,898	San Bernardino	1,946,202
Del Norte	28,895	San Diego	3,051,280
El Dorado	173,407	San Francisco	799,263
Fresno	883,537	San Joaquin	653,333
Glenn	28,197	San Luis Obispo	260,727
Humboldt	131,334	San Mateo	723,453
Imperial	161,800	Santa Barbara	419,260
Inyo	18,592	Santa Clara	1,759,585
Kern	753,070	Santa Cruz	260,240
Kings	144,732	Shasta	178,197
Lake	63,250	Sierra	3,538
Lassen	35,455	Siskiyou	45,819
Los Angeles	10,226,506	Solano	421,657
Madera	141,007	Sonoma	478,440
Marin	252,485	Stanislaus	504,482
Mariposa	17,991	Sutter	88,945
Mendocino	89,974	Tehama	60,019
Merced	240,162	Trinity	13,749
Modoc	9,700	Tulare	409,871
Mono	13,563	Tuolumne	58,504
Monterey	425,102	Ventura	813,052
Napa	133,294	Yolo	187,743
Nevada	98,955	Yuba	66,734

## SERVICE AREA POPULATION

3,000,000 and above  
1,000,000 to 2,999,999  
500,000 to 999,999  
200,000 to 499,999  
under 200,000

## MAXIMUM FUNDING LEVEL

\$90,000  
70,000  
55,000  
52,500  
45,000

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
COMPETITIVE REQUEST FOR PROPOSALS**

**PART IV – ADDITIONAL INFORMATION**

This section contains additional information that applicant is strongly encouraged to review in preparing your proposal. Among the documents contained in this section is a copy of the Rating Form with the criteria that will be used to score proposals. The applicant is encouraged to use this Rating Form to review the proposal prior to submission.

- A. Submitting A Proposal
- B. Selection of Proposal For Funding
- C. Finalizing the Grant Award Agreement
- D. Administrative Requirements
- E. Budget Policy
- F. Glossary of Terms
- G. Rating Form
- H. Summary of Past Performance Policy
- I. ADA Compliance

## **A. SUBMITTING A PROPOSAL**

One original and three copies of the proposal must be delivered to OES' Law Enforcement and Victim Services Division by the date and time indicated below. Submission options are:

1. Regular mail, **postmarked by Monday, October 24, 2005**, to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNESS SECTION

2. Overnight mail, **postmarked by Monday, October 24, 2005**, to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNESS SECTION

3. Hand delivered by **5:00 p.m. on Monday, October 24, 2005**, to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNESS SECTION

## **B. SELECTION OF PROPOSAL FOR FUNDING**

### **1. Proposal Rating**

All proposals received by the deadline will be read and rated by a team usually consisting of three raters. The averaged scores from the raters for the qualified proposals will be ranked numerically to develop a ranked list for each program. The rating form that will be used for this process is included in this section. It is provided as information only and is not to be submitted with the proposal.

### **2. Funding Recommendations**

Recommendations for funding will be based on the following:

- the ranked score of the proposal;
- consideration of the funding priorities or geographical distribution of selected proposals as applicable to each program; and
- prior negative administrative and programmatic performance and compliance as an OES-funded project, if applicable.

Projects previously funded by OES will be reviewed for poor past compliance, including financial management, progress and annual reports, monitoring results, audit reports, and any

other relevant documentation or information. This review may result in one or more of the following actions: a) the project may not be selected for funding; b) the amount of funding may be reduced; or c) grant award conditions may be placed in the Grant Award Agreement. See the attached Past Performance Policy for details.

Recommendations for funding are submitted to the Director of OES who makes the funding decisions, **with the following exceptions:**

- The Director of OES makes funding recommendations to the State Advisory Committee (SAC) on Sexual Assault Victim Services/Prevention Programs for the Rape Crisis, Child Sexual Abuse Treatment, and the Child Sexual Exploitation and Intervention programs, which makes the final funding decisions in accordance with *California Penal Code Sections 13836 and 13837*.

### **3. Notification Process**

All applicants submitting a proposal will be notified in writing of the results of the rating process. The applicants not selected for funding will receive a letter and information on the appeals process.

## **C. FINALIZING THE GRANT AWARD AGREEMENT**

### **1. Standard Project Funding Authority**

**Allocation of funds is contingent on the enactment of the State Budget.** OES does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed. Until such time, projects must refrain from incurring any expenditures. Any expenditures incurred prior to authorization are made at the project's own risk. When the executed grant is received, authorized expenditure reports may be submitted for reimbursement of grant funds.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent that state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Agreement.

## **2. Processing Grant Awards**

### **a. Grant Award Conditions**

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or any other requirements deemed necessary by OES.

### **b. Grant Award Agreement**

A copy of the executed Grant Award Agreement and all the attachments will be sent to the project director. The applicant is not authorized to incur costs against the grant until they have received a copy of the fully executed Grant Award Agreement. When the executed grant is received, the Report of Expenditures and Request for Funds (OES 201) may be submitted for reimbursement.

### **c. Grant Award Amounts**

Due to the limited amount of funds available, it may be necessary for OES to reduce the amount of the grant award from the amount requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

## **D. ADMINISTRATIVE REQUIREMENTS**

The following requirements apply to projects selected for funding. These requirements are explained below for your planning purposes.

### **1. The 2004 Recipient Handbook**

The *2004 Recipient Handbook* is accessible on the OES Internet website at [www.oes.ca.gov](http://www.oes.ca.gov) by selecting "Plans and Publications, 2004 Recipient Handbook." The *2004 Recipient Handbook* contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the *2004 Recipient Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

### **2. Internet Access**

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose, unless specifically prohibited by the RFP instructions.

### **3. Progress Reports and Data Collection**

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives. These records must be kept by the project for a period

of three years. During programmatic monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

**4. Monthly/Quarterly Report of Expenditures and Request for Funds (OES 201)**

Community-Based Organizations shall submit a monthly Report of Expenditures and Request for Funds (OES 201) unless they request a quarterly reporting period. All government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days at the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting these forms will result in the withholding of funds and may result in the termination of the grant award.

**5. Technical Assistance/Site Visits**

Each project selected for funding is assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are technical experts on the criminal justice system and in the administrative execution of Grant Award Agreements. They are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. Projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance. Projects must submit a request for approval for any changes to their project to the program specialist.

**6. Monitoring Requirements**

A monitoring visit is an onsite assessment by the OES Monitoring and Audits Branch staff to determine if the project is in compliance with the Grant Award Agreement, the Program Guidelines, the RFA/RFP, and the *2004 Recipient Handbook*. The goal of the monitoring process is to support program branches in helping projects achieve their goals. Projects will be monitored on a random or as-needed basis. The monitoring will cover all areas of project operation and will review the project's source documentation as substantiation for project goals, objectives, and activities.

**7. Bonding Requirements**

All Community-Based Organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to all officials and employees of OES-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Governor's Office of Emergency Services."

The time period covered by the bond must include the effective date and total time period of the grant, including any extensions. The bond must be in an amount equal to 50 percent of the total grant award and may have a deductible in an amount not to exceed one percent of the bond.

A bond is not required of an applicant sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or equivalent insurance contract, unless specifically required in the RFP instructions or grant award conditions.

## **8. Audit Requirements**

All recipients must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the RFP Budget Policy.

## **9. Copyrights, Rights in Data, and Patents**

OES owns all rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, any material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *2004 Recipient Handbook*.

## **10. Source Documentation**

If selected for funding, the applicant will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Projects are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Projects will be required to have written job descriptions on file for all positions funded by OES detailing specific grant-related activities to achieve project objectives.

## **11. ADA Compliance**

Applicants must be in compliance with the Americans with Disabilities Act (ADA) of 1990, 42 U.S.C. 12101, et seq, and Title 28 of the Code of Federal Regulations, part 35. The applicant shall operate so that each service is accessible to and usable by individuals with disabilities. Applicants may comply with the requirements of this section through such means as redesign of equipment, reassignment of services to accessible buildings, assignment of aides to beneficiaries, home visits, delivery of services at alternative accessible sites, alteration of existing facilities and construction of new facilities, use of accessible rolling stock or other conveyances, or any other methods that result in making its services, programs, or activities readily accessible to and usable by individuals with disabilities.

Applicants must ensure that communication with individuals with disabilities is as effective as communication with others without disabilities. This includes the use of telecommunications systems for communications by telephone. Applicants must also ensure that individuals with impaired vision or hearing can obtain information as to the existence and location of accessible services, activities, and facilities, as well as provide appropriate signage. This includes all written materials (i.e. brochures, applications, consents, videos, etc.)

Applicants must ensure that all aspects of employment comply with ADA, including the application process (recruitment, hiring) and employment tasks.

## **E. BUDGET POLICY**

This document summarizes information on OES Budget Policy contained in the *2004 Recipient Handbook*. Additional information may be obtained by accessing the *2004 Recipient Handbook* at [www.oes.ca.gov](http://www.oes.ca.gov) by selecting "Plans and Publications, 2004 Recipient Handbook."

## 1. **Supplanting Prohibited**

Grant funds must be used to supplement existing funds for program activities and **not replace** funds that have been appropriated for the same purpose. If selected for funding, a written certification must be provided to OES indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are discussed at length in Section 1313 of the *2004 Recipient Handbook*.

## 2. **Project Income**

Project income, such as client fees and fees for services provided by the recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

## 3. **Noncompetitive Bid Requests**

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitively bid contracts are disfavored, and noncompetitive bid request approval is required prior to the purchase of equipment in excess of \$5,000 without using a competitive bid process, or to hire a specific consultant charging over \$5,000 without using a competitive bid process. Local units of government may use their approved procurement policy except for contracts over \$50,000. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a noncompetitive bid request will be required. OES will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if OES determines it is in the best interest of the project.

## 4. **Match Policies**

The RFP instructions (Part II) may specify a cash or in-kind match. The match must be from a source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. The match specified in the budget will become part of the grant award. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match on page 10 of the Instructions and in Sections 6550-6550.2 of the *2004 Recipient Handbook*.

### a. **State Funds Matching State or Federal Funds**

State and/or federal funds can be used to match other state and/or federal funds **only** if **all** of the following conditions have been met:

- 1) the other funding source does not prohibit this practice;
- 2) the funds are to be used for identical activities (e.g., to augment the project); and
- 3) the project has obtained prior written approval from OES, or specific RFP instructions allow this practice.



## **b. Type of Match**

### **1) Cash Match**

Cash match, also known as hard match, is revenue from a source other than state or federal funds that is budgeted for the project. Cash match is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations, or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities, and supplies may be considered cash match if not in violation of the prohibition on supplanting.

### **2) In-Kind Match**

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value.

## **5. Travel Policies**

The following is OES' current travel policy:

### **a. Selection of Travel Policy**

The applicant may prepare the budget using his/her own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

#### **1) Units of Government**

Units of government may use their own written travel policy or the state policy.

#### **2) Community-Based Organizations**

A Community-Based Organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

### **b. State Travel Policy**

Use the following state travel policy for budgeting travel expenses:

#### **1) Out-of-State Travel**

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 34 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

**NOTE: If you are traveling by plane during business hours, you cannot claim a meal if it is served on the plane.**

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total

Total is \$40.00 for a 24-hour period.

4) Lodging

Reimbursement is not authorized without a receipt. Statewide with a lodging receipt is the actual lodging expense up to \$84.00, plus applicable **taxes**, (except as noted below).

5) Special Lodging Rates

These rates allow actual lodging expense up to \$110 plus applicable taxes with receipt in Los Angeles and San Diego counties. Actual lodging of up to \$140 plus applicable taxes is allowed for Alameda, San Francisco, San Mateo and Santa Clara counties.

6) Other

Taxi, airport shuttle, etc., which exceeds \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

**6. Consultant Services**

Consultant services are provided on a contractual basis by individuals or organizations and are not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations that meet some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.

**a. Rates**

The maximum rate for independent contractors is \$250 per hour (excluding travel and subsistence costs). A request for compensation for over \$250 per hour requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for these independent contractors will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

**b. Expert Witness Fees**

Prosecution or criminal defense projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
- Specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage and Family Therapist (MFT); Medical Doctor (MD)].

- Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).
- Indicate why this cost cannot be paid with county funds. Attach a written justification to OES A303b.

## **7. Facility Rental**

Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

- **Rental Space for Training and Counseling Rooms**

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the rental charged is based on actual costs and not reimbursed by any other source.

## **8. Rented or Leased Equipment**

If equipment is to be rented or leased, an explanation and cost analysis will be required if the proposal is selected for funding. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it and must be approved by OES prior to the execution of any rental or lease agreement.

## **9. Indirect Costs/Administrative Overhead**

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent of personnel salaries (excluding benefits and overtime) or five percent of total direct project costs (excluding equipment) may be budgeted by applicant for indirect costs.

## **10. Audits**

An audit is required for all OES recipients expending \$25,000 or more of OES grant awards. The applicant may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$2,000 for the financial audit costs; or
- If the total amount of the grant is greater than \$150,000, the applicant may budget up to one and a half percent of the total grant for financial audit costs.

## **11. Equipment**

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers must be one line item, not three).

### **a. Allowable Expenses**

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by OES is required.

All equipment purchased in whole or in part with state or federal grant funds is the property of the state or the federal government. However, under certain conditions, equipment may be transferred to the recipient at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

### **b. Computers**

#### **1) Community-Based Organizations**

The applicant from Community-Based Organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase.

#### **2) Units of Government**

The applicant from units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

#### **3) Computer Purchase Justification**

Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost-effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. If selected for funding, the project will be sent instructions for preparing the justification.

**c. Automobiles**

Automobiles are not allowable budget items, unless permitted in the RFP Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OES during a site visit, monitoring visit, and/or by the auditor during the required annual audit.

**12. Prohibited Expense Items**

The following is a list of prohibited items:

**a. Lobbying**

OES grant funds cannot be used for lobbying activities.

**b. Fundraising**

OES grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

**c. Real Property and Improvements**

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

**d. Interest**

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

**e. Food and Beverages**

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

**f. Weapons and Ammunition**

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFP instructions.

**g. Membership Dues**

The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFP instructions.

**h. Professional License**

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

**i. Annual Professional Dues or Fees**

The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the RFP instructions.

**j. Charges, Fees and Penalties**

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

**k. Depreciation**

Depreciation charges are not allowable expenditures.

## GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet who is the programmatic recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Application	Once selected for funding, the original proposal plus any additional forms as required by OES becomes the application. This application, once signed by OES and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A nonprofit, public benefit corporation as described in <i>Section 501(c)(3)</i> of the <i>Internal Revenue Service Code</i> .
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed final agreement (application) between OES and the local government agency or organization authorized to accept grant funding (see application).
Grant Award Forms Package	The package to be sent to projects selected for funding containing forms needed for the final Grant Award Agreement.
Grant Funding Cycle	The number of years a program <b>may</b> be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the RFP or the application for Continuation Funding (RFA), which the Project Narrative, Objectives, Activities, and Budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (OES A301).
<i>2004 Recipient Handbook</i>	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>2004 Recipient Handbook</i> is accessible on the Internet website at <a href="http://www.oes.ca.gov">www.oes.ca.gov</a> by selecting "Plans and Publications, 2004 Recipient Handbook."



Term	Definition
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Memorandum of Understanding (MOU)	This term is used synonymously with Operational Agreement.
Noncompetitive Bid Request for Services	A contract process used when one supplier can be documented as being uniquely positioned to provide the service.
Noncompetitive Bid Request for Goods	A contract process used when a specific supplier can be identified as the only supplier able to provide the services required by the department.
Nonprofit Organization	A nonprofit, public benefit corporation as described in <i>Section 501(c)(3)</i> of the <i>Internal Revenue Service Code</i> . The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a (funded) state or local government agency or CBO.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to OES which specifies the priorities, strategies, and objectives of the applicant.
RFA	The Request For Application is a noncompetitive application issued by OES.
RFP	The Request For Proposal is issued by OES to solicit competitive proposals relating to new funding.
Supplanting	To reduce federal, state, or local funds due to the existence of OES funds. Supplanting occurs when a recipient deliberately replaces its non-OES funds with OES funds, thereby reducing the total amount available for the stated purpose.

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**VIOLENCE AGAINST WOMEN VERTICAL PROSECUTION PROGRAM  
COMPETITIVE REQUEST FOR PROPOSALS**

**RATING FORM**

	Control #:
	Rater #:
APPLICANT:	
FUNDS REQUESTED:	
PREFERENCE POINTS: <input type="checkbox"/> zero <input type="checkbox"/> 2% <input type="checkbox"/> 5%	

<u>CATEGORY</u>	<u>TOTAL POINTS POSSIBLE</u>
1. PROBLEM STATEMENT.....	60
2. PLAN and IMPLEMENTATION .....	140
3. BUDGET .....	30
4. COMPREHENSIVE ASSESSMENT .....	40
<b>TOTAL.....</b>	<b>270</b>

Each of the above categories contains questions that are assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV, and V**. The response to each question is evaluated on the following criteria:

- I. ABSENT:** Answer does not respond to the particular question or was left blank entirely.
- II. UNSATISFACTORY:** Does not completely respond to the question. Information presented does not provide a good understanding of applicant's intent, does not give detailed information requested by the RFP, or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY:** Responsive to the question. Provides a good understanding of the applicant's intent. Response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE:** Above average response gives a clear and detailed understanding of the applicant's intent. Response presented a persuasive argument supporting the proposal and the intent of the program.
- V. EXCELLENT:** Outstanding response with clear, detailed and relevant information exceeding the information requested. Response presented a compelling argument supporting the proposal.

	I	II	III	IV	V
<b>1. PROBLEM STATEMENT (Maximum <u>60</u> points)</b>					
a. How well does the proposal describe the problem of violence against women in their target area, including underserved populations?	0	5	10	15	20
b. How well does the proposal explain the need for a Vertical Prosecution team/unit?	0	5	10	15	20
c. How well does the proposal show its ability to provide unique services, not duplicative of other programs?	0	5	10	15	20
<b>2. PLAN AND IMPLEMENTATION (Maximum <u>140</u> points)</b>					
a. How well does the proposal detail the method of Vertical Prosecution to be used and types of cases to be prosecuted?	0	5	10	15	20
b. How well does the proposal explain the specialized unit to be used to prosecute VAW-VP cases?	0	5	10	15	20
c. How well does the project describe victim service provisions?	0	5	10	15	20
d. How well does the proposal detail the staff qualifications?	0	5	10	15	20
e. How well does the proposal describe the agency's ability to maintain separate and accurate statistics and provide outcome measures for VAW-VP cases?	0	5	10	15	20
f. How well does the proposal describe the agency's Operational Agreements?	0	5	10	15	20
g. How well does the proposal address the required policies for VAW-VP projects?	0	5	10	15	20
<b>3. BUDGET, including budget narrative (Maximum <u>30</u> points)</b>					
a. How well does the budget narrative support the proposal objectives and activities, and the intent and requirements of the program?	0	3	7	11	15
b. How well are the funds allocated in the Budget Category Forms? How well do the line items support the proposal plan, objectives, and activities of the program?	0	3	7	11	15
<b>4. COMPREHENSIVE ASSESSMENT (Maximum <u>40</u> points)</b>					
How well does this proposal support the overall intent, goals, and purpose of the program?	0	10	20	30	40

## SUMMARY OF PAST PERFORMANCE POLICY

*(Effective February 2003)*

The following is a summary of OES' Past Performance Policy. A complete copy may be obtained by sending a request to the attention of the Deputy Director of Law Enforcement and Victim Services Division:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: VAW-VP RFP – VICTIM/WITNES SECTION  
Fax: (916) 327-5674

### 1. **General Policy**

This policy is intended to result in a penalty to existing recipients that have serious performance problems and is to be utilized only in connection with the RFP process and the awarding of grants for new funding cycles. It has been developed in consultation with OES' advisory groups.

### 2. **Penalty Levels**

Level A: Complete disqualification from RFP process;

Level B: 10% point reduction of total possible points from an applicant's score.

### 3. **Standard For Invoking This Policy**

The standard for invoking either penalty is whether the applicant's compliance with grant terms and conditions falls **significantly** below average — far below the level to be expected of other recipients, and not minor incident(s) of noncompliance with OES policies.

#### **a. Serious Performance Problems That Are Eligible For Consideration**

The types of performance problems that would qualify under this policy include, but are not limited to:

- 1) significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) violation(s) of material statutory requirements related to the grant;
- 3) a willful or grossly negligent violation of a material OES policy, term or condition of the grant, but only after the recipient has been provided:
  - a) technical assistance by OES, including a site visit if necessary, to remedy the violation;
  - b) at least one written notice (per violation); and
  - c) a reasonable opportunity to remedy the violation.

Any such notice will be provided to the recipient's executive officer and will specify that failure to remedy the violation may negatively impact the recipient's eligibility for future funding, including disqualification from the next RFP process.

It is not necessary for a criminal conviction to have occurred for OES to consider actions that appear to constitute fraud, embezzlement, mishandling of funds, or other types of statutory violations. OES must only have reliable evidence that this conduct occurred. Moreover, only properly documented performance problems will be considered.

**b. Factors Considered**

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) the seriousness of the problem(s);
- 2) whether the problem or problems identified were intentional;
- 3) whether the problem or problems reveal dishonest behavior by the applicant;
- 4) whether the interests of the State or the public were harmed by the problem or problems;
- 5) whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) whether the problem has been documented objectively; and
- 7) whether OES has attempted to assist the recipient in remedying the problem.

**c. Specific Examples**

All performance problems should be considered on a case-by-case basis, with the totality of the circumstances to be considered. The following examples are not intended to be binding or in any way restrictive of OES' authority to determine the appropriate penalty in any particular case:

- 1) OES conducts a monitoring visit of Project Z, and makes the following findings:
  - a) the shelter failed to pay overtime on two occasions;
  - b) three timesheets did not contain a supervisor's approval; and
  - c) the project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the project takes steps to implement the monitoring recommendations. A follow-up with the recipient four months later shows that the monitoring findings have been corrected.

**Penalty: None**

- 2) During an audit, it is discovered that a year ago an employee of Project V has embezzled \$300 of OES funds. The audit concludes that this occurred in part because of inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the recipient are known.

**Penalty: Level B**

- 3) Project Y has agreed to provide victim advocacy services in County X. The project spends \$40,000 on other things and provides no such services, as documented in the monitoring report. However, the project still writes that the services are being provided on its OES reports. OES refers the matter to the district attorney for prosecution, but no additional steps have yet been taken.

**Penalty: Level A**

#### **5. Notification to the Applicant and Appeal of Decision**

A letter will be sent by certified mail to applicant denied funding due to past performance problems. The applicant shall be provided with a summary of why the performance problem penalty was invoked. An applicant is entitled to appeal this denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.